TRANSMITTAL FORM			OPM		09/33	
				Filing Date	Marc	h 31, 2000
(to be used for all	corre	spondence afte	er initial filing)	First Named Inventor	Carl l	M. Ellison
				Art Unit	2132	
				Examiner Name	G. Gı	ırshman
Total Number of I	Pages	in This Submissi	ion	Attorney Docket Number	er 42390	DP8098
		ENCL O	CUDEC /oho-	de all that annies		
		ENCLO	SURES (CREC	k all that apply)		After Aller and Communication
Fee Transmittal	Form		Drawing(s)			After Allowance Communication to Group
Fee Attac	ched		Licensing-r	related Papers		Appeal Communication to Board of Appeals and Interferences
Amendment / R	espon	se	Petition			Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Fina Affidavits		ration(s)	Petition to 0 Provisional	Convert a Application		Proprietary Information
Extension of Tir	ne Red	quest	Power of A Change of	ttorney, Revocation Correspondence Addres		Status Letter
Express Abando	Express Abandonment Request		Terminal Disclaimer			Other Enclosure(s) (please identify below):
Information Disc	closure	Statement	Request for Refund			Relined Copy of Filing eceipt
PTO/SB/		rity	CD, Numbe	- Copies of previously submitted IDSs		
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Response to Mi Incomplete App			Remarks		F	RECEIVED
	c Filing					JUN 1 8 2004
<u> </u>	aration					
Response Parts und 1.52 or 1.	der 37 .53	ČFR			Te	chnology Center 2100
		SIGNATURI	E OF APPLICA	NT, ATTORNEY, OR	AGENT	
Firm or	Gr	egory D. Cale	dwell, Reg. No	o. 39,926		
Individual name	B	LAKELY, S	OKOLOFF,	TAYLOR & ZAF	MAN I	LLP
Signature						
Date June 8, 2004						
		CERTIFI	CATE OF MAIL	ING/TRANSMISSION	١	
						e on the date shown below with D. Box 1450, Alexandria, VA
Typed or printed na	ame	Derek S. Wa	tson			
Signature		de			Date	June 8, 2004

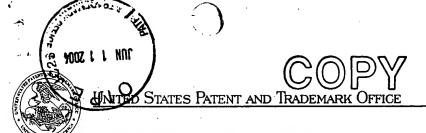
Application No.

09/539,344

Based on PTO/SB/21 (04-04) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 06/04/2004. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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F	EE TF	RANSM	ITTAL		pplication	n Nur	nber	09/539,344	
		FY 200		1	iling Dat			March 31, 2000	
Effect		Patent fees are subje			irst Nam		entor		
<u> </u>					xaminer			G. Gurshman	
Applica	ant claims sm	nall entity status.	See 37 CFR 1.27.		rt Unit	140111		2132	
TOTAL	AMOUNT O	FPAYMENT	(\$)		Attorney I	Docke	No.	42390P80980FCE	IVE
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Deposit			<del></del>	Fee Code	Fee (\$)	Code	(\$)	Fee Description	Fee Pa
Account Number		02-2666		1051	130	2051	65	Surcharge - late filing fee or oath	
_				1051 1052	50	2051	25	Surcharge - late provisional filing fee or	
Deposit Account p	Slakely Sol	koloff Taylor	& Zafman LLP					cover sheet.	
Name	Jiakery, Bo	KO1011, Taylor	& Zamian EE	2053	130	2053	130	Non-English specification	
The Commission	ner is authorized	l to: ( check all that a	pply)	1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
Charge fee(s	s) indicated below	Cred	it any overpayments	1804	920*	1804	920	* Requesting publication of SIR prior to Examiner action	
			es as required under 37		1.040+		4 840		
CFR 99 1.10	, 1.17, 1.18 and	1.20. , except for the filin		1805	1,840*	1805	1,040	Requesting publication of SIR after Examiner action	
	identified deposi		A isa	1251	110	2251	55	Extension for reply within first month	
-	FFF C	ALCULATION	1	1252	420	2252	210	Extension for reply within second month	
1. BASI	C FILING F			1253	950	2253	475	Extension for reply within third month	
Large Entity	Small Entity	LL		1254	1,480	2254	740	Extension for reply within fourth month	
Fee Fee	Fee Fee	Fee Description	Fee Paid	1255		2255	1.005	Extension for reply within fifth month	
Code (\$)	Code (\$)				2,010 330		1,005	Notice of Appeal	
1001 770	2001 385	Utility filing fee		1404		2401			
1002 340	2002 170	Design filing fee		1402	330	2402	165	Filing a brief in support of an appeal	
1003 530	2003 265	5 Plant filing fee		1403	290	2403	145	Request for oral hearing	<u> </u>
1004 770	2004 385	Reissue filing fee		1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1005 160	2005 80	Provisional filing	fee	1452	110	2452	55	Petition to revive - unavoidable	
	Sui	BTOTAL (1)	(\$)	1453	1,330	2453	665	Petition to revive - unintentional	
		· · · · · · · · · · · · · · · · · · ·	<u>["</u>	1501	1,330	2501	665	Utility issue fee (or reissue)	
2. EXTR	RA CLAIM F	EES <sub>Extra</sub>	Fee from	1502	480	2502	240	Design issue fee	
X-4-1 01-1		Claims	below Fee Paid	1503	640	2503	320	Plant issue fee	
Total Claims	20	* =	=	1460	130	2460	130	Petitions to the Commissioner	
Independent Claims	з	= X	=	1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
Multiple Depende	nt		=	1806	180	1806	180	Submission of Information Disclosure Stmt	
Large Entity	Small Entity			8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
Fee Fee Code (\$)	Fee Fee Code (\$)	Fee Description		1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1202 18	2202 9	Claims in excess o		1810	770	2810	385	For each additional invention to be	
1201 86	2201 43	Independent claim				-5',5	555	examined (37 CFR § 1.129(b))	
1203 290	2203 145	Multiple Dependen	it claim, if not paid dent claims over original	1801	770	2801	385	Request for Continued Examination (RCE)	
1204 86	2204 43	patent	John Claims Over Original	1802	900	1802	900		
1205 18	2205 9	**Reissue claims in original patent	excess of 20 and over		ee (specify)		_	of a design application	
	su!	BTOTAL (2)	(\$)	*Do#:0: 3	( b Dosis Fr	a Coc D-	-		
**or nu	mber previously	paid, if greater, For R	eissues, see below	Reduced	d by Basic Filin	y ree ra	u	SUBTOTAL (3) (\$)	

SUBMITTED B	Υ				Comp	olete (if applicable)
Name (Print/Type)	Gregory D. Caldwell	1/11	Registration No. (Attorney/Agent)	39,926	Telephone	(714) 557-3800
Signature		III /			Date	06/08/04



COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE WASHINGTON, D.C. 20231 www.uspto.gov

APPLICATION NUMBER FILING DATE **GRP ART UNIT** FIL FEE REC'D ATTY.DOCKET.NO **DRAWINGS TOT CLAIMS** IND CLAIMS

1978 042390.P8098 09/539,344 03/31/2000 2785 13 80

Blakely Sokoloff Taylor & Zafman LLP 12400 Wilshire Boulevard Seventh Floor Los Angeles, CA 90025



**FILING RECEIPT** 

Date Mailed: 09/19/2000

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LOS ANGELES

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

#### Applicant(s)

Carl M. Ellison, Portland, OR; Roger A. Golliver, Beaverton, OR; Howard C. Herbert, Phoenix, AZ; Derrick C. Lin, Foster City, CA; Francis X. McKeen, Portland, OR; Gil Neiger, Portland, OR; Ken Reneris, Wilbraham, MA; James A. Sutton, Portland, OR; Shreekant S. Thakkar, Portland, OR; -Milland-Mittal, Palo Alto, CA; "Millind"

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 06/03/2000

Title

Managing a secure platform using a hierarchical executive architecture in isolated execution mode

**Preliminary Class** 

713

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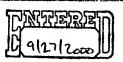
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9/18/00

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Data entry by : TUTT, TONDENICA

Team : OIPE

Date: 09/19/2000

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# LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CRF 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

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#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

#### PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, DC 20231





BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN -LOS ANGELES



Application No.: 09/539,344 Filing Date: 03/31/00 BS	STZ Docket #: 042390.P8098 Atty/Sec: WWS/crr
Date Mailed: 06/14/2002 Docket Due Date(s):	Client: Intel Corporation
Title Managing Secure Platform Using a Heircrchical F	xecutive Architecture in Isolated Execution Mode
5.	
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, R	eneris, Sutton, Thakkar, Mittal
The following has been received in the U.S. Patent & Trademark	k Office on the date stamped hereon:
Amendment: (pgs)	Information Disclosure Statement & PTO/SB/08 (4 pgs)
☐ Appeal Brief & two copies ( pgs)	☐ Issue Fee Transmittal (original & copy)
☐ Application:	□ Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
(_ pages w/ cover & abstract)	□ Notice of Appeal
Assignment & Cover Sheet (pgs)	□ Petition for:
Certificate of Mailing	Request for Continued Examination (RCE)
Continued Prosecution Application (CFO)	Reply Brief ( pgs)
Declaration & POA (_ pgs)	
Drawings: sheets, figures	Request to Rescind Previous Nonpublication Request
Express Mail No:	Response to Notice of Missing Parts & Formalities Letter
☐ Extension of Time:	Terminal Disclaimer
Fee Transmittal (original & copy)	☐ Transmittal of Formal Drawings
Other Cross-Reference Under 37 CFA \$1 78(a)(2) to Regited	☐ Transmittal of Publication Fee Due
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Application No.: 09/539,344 Filling Date. 05/14/2002 Docket Due Date(s):	
☐ Amendment: (pgs) ☐ Appeal Brief & two copies (pgs) ☐ Application:	Information Disclosure Statement & PTO/SB/08 (4_pgs)  ☐ Information Disclosure Statement & PTO/SB/08 (4_pgs) ☐ Issue Fee Transmittal (original & copy) ☐ Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i) ☐ Notice of Appeal ☐ Petition for: ☐ Request for Continued Examination (RCE) ☐ Reply Brief (_pgs) ☐ Request to Rescind Previous Nonpublication Request ☐ Response to Notice of Missing Parts & Formalities Letter ☐ Transmittal of Formal Drawings ☐ Transmittal of Formal Drawings
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TOANCE	TTAL FO	DNA	Application No.	09/539,344		
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				2785	JUN 1 8 20	JU4
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Total Number of Pages	in This Submission	16	Attorney Docket Number	42390P8098	100::::0	
	ENCLOS	URES (chec	k all that apply)			
Fee Transmittal Form		Assignmer	nt Papers lication)	After Allo to Group	wance Communication	
Fee Attached		Drawing(s	)	Appeal C of Appea	communication to Board ls and Interferences	
Amendment / Respons	se	Licensing-	related Papers	Appeal C	Communication to Group Notice, Brief, Reply Brief)	
After Final Affidavits/decla	ration(s)	Petition			ry Information	
Extension of Time Red	quest	Petition to Provisiona	Convert a I Application	Status Le		
Express Abandonmen	at Request	Power of Attorney, Revocation Change of Correspondence Address  Other Enclosure(s) (please identify below):				
Information Disclosure	e Statement	Terminal Disclaimer  Cross-Reference Under 37  CFR §1.78(a)(2) to Related				
Certified Copy of Prior Document(s)	rity	Request fo	or Refund	Applicati Referenc	ons; 7 Cited es	
Response to Missing Incomplete Application	Parts/ n	CD, Numb	er of CD(s)			
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· · · · · · · · · · · · · · · · · · ·	SIGNATURE	OF APPLICA	NT, ATTORNEY, OR A	GENT		: :
	illiam W. Sch	aal, Reg. No.	39,018			
or Individual name	LAKELY. SE	KOLOFF.	TAYLOR & ZAFN	IAN LLP		
Signature Signature						
Date Ji	one 14, 2002			_		
			LING/TRANSMISSION			)
I hereby certify that this compostage in an envelope add	respondence is be dressed to: Assista	ing deposited wi nt Commissione	th the United States Posta er for Patents, Washington	I Service as First , D.C. 20231 on:	Class mail with sufficient  June 14, 2002	
Typed or printed name	Corrinn R. R	eynolds				
Signature	16-1	Lange	ilda	Date	June 14, 2002	)

PTO/SB/17 (11-01)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

CEE TO A NOMITTAL	Complete if Known							
FEE TRANSMITTAL	A	Application Number 09/539,344						
for FY 2002	Fi	Filing Date March 3			h 31, 20 <del>0</del> 0 M. Ellisbri	ECF	TVED	
Patent fees are subject to annual revision.	Fi	irst Name	ed Inv	entor			LOL	-1 V L L
Applicant claims small entity status. See 37 CFR 1.27.	E	xaminer	Name	<del>}</del>		signed	HIN_1	8 2004
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Deposit Account	Large	Entity	Sma	II Entity	_			
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Deposit Account 02-2666						Description		Fee Paid
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Deposit Account Blakely, Sokoloff, Taylor & Zafman LLP	121	- Ju		20	cover sheet.			
Name Blakely, Sokololi, Taylol & Zallilali LLF	139	130	139	130	Non-English specificati			
The Commissioner is authorized to: ( check all that apply)	147	2,520	147		For filing a request for	·	ation	ļ
Charge fee(s) indicated below Credit any overpayments	112	920 *	112	920 *	Requesting publication Examiner action	i oi Sirk prior to		
Charge any additional fee(s) during the pendency of the application	113	1,840 °	113	1,840 *	Requesting publication Examiner action	of SIR after		
Charge fee(s) indicated below, except for the filling fee to the above-identified deposit account	115	110	215	55	Extension for reply with	nin first month		
FEE CALCULATION	116	400	216	200	Extension for reply with	nin second month		
1. BASIC FILING FEE	117	920	217	460	Extension for reply with	nin third month		
Large Entity Small Entity	118	1,440	218	720	Extension for reply with	nin fourth month		
Fee Fee Fee Fee Fee Description Fee Paid	128	1,960	228	980	Extension for reply with	nin fifth month		
,,	119	320	219	160	Notice of Appeal			
101 740 201 370 Utility filing fee	120	320	220	160	Filing a brief in suppor	t of an appeal		
106 330 206 165 Design filing fee 107 510 207 255 Plant filing fee	121	280	221	140	Request for oral hearing	ng		
108 740 208 370 Reissue filing fee	138	1,510	138	1,510	Petition to institute a p	ublic use proceedi	ing	
114 160 214 80 Provisional filing fee	140	110	240	55	Petition to revive - una	voidable		
SUBTOTAL (1) (\$)	141	1,280	241	640	Petition to revive - unit	ntentional		
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2. EXTRA CLAIM FEES Extra Fee from	143	460	243	230	Design issue fee			
Claims below Fee Paid Total Claims = = = = = = = = = = = = = = = = =	144	620	244	310	Plant issue fee			
Independent X	122	130	122	130	Petitions to the Comm			
Claims X	123	50	123		Processing fee under 3			
Multiple Dependent	126	180	126	180	Submission of Informa		mt	
Large Entity Small Entity	581	40	581	40	Recording each paten property (times number			
Fee Fee Fee Fee Fee Fee Description Code (5) Code (5)	146	740	246	370	Filing a submission aft	er final rejection		
103 18 203 9 Claims in excess of 20				J. •	(37 CFR § 1.129(a))	•		
102 84 202 42 Independent claims in excess of 3	149	740	249	370	For each additional invexamined (37 CFR § 1			
104 280 204 140 Multiple Dependent claim, if not paid	179	740	270	270	Request for Continued		F)	[
109 84 209 42 **Reissue independent claims over original patent	169	740 900	279 169	370 900	Request for expedited		-,	
110 18 210 9 **Reissue claims in excess of 20 and over		ee (specify)	''"	900	of a design application			
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**or number previously paid, if greater, For Reissues, see below	*Reduced	d by Basic Film	g Fee Pa	id	S	SUBTOTAL (3)	(\$)	
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SUBMITTED BY	I R	egistratio	on No.		2010			
Name (Print/Type) William W. Schaal		ttomey/Age		3	39,018	Telephone	(/14)	557-3800
Signature Signature						Date	06	/14/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Docket No.: 042390.P8098

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/538,344

Filed: March 31, 2000

For: Managing a Secure Platform Using a

Hierarchical Executive Architecture in

Isolated Execution Mode

Examiner: Unassigned

Art Group: 2785

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JUN 1 8 2004

**Technology Center 2100** 

Assistant Comissioner for Patents Washington, D.C. 20231

#### CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS

#### Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

- (1) A U.S. Patent Application entitled <u>Platform And Method For Remote Attestation</u>
  Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.
- (2) A U.S. Patent Application entitled <u>Generating A Key Hierarchy For Use In An Isolated Execution Environment</u> by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.

WWS/crr Filed: 3/31/00 If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: June 14, 2002

(714) 557-3800

12400 Wilshire Boulevard, Seventh Floor

Los Angeles, California 90025

WILLIAM W. SCHAAL Reg. No. 39,018

I

**CERTIFICATE OF MAILING** 

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: June 14, 2002.

Corrinn R. Reynolds

Date

Docket No.: 42390P8098

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: Managing Secure Platform Using a

Heircrchical Executive Architecture in

**Isolated Execution Mode** 

Art Group: 2785

Examiner: Unassigned

RECEIVED

JUN 1 8 2004

Technology Center 2100

#### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 14, 2002

William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

June 14, 2002

Corrinn R. Reynolds

Date

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Šubstit	ute for	Form 1449A/PT	O (Modified	)		Comple	te if Known	
		RMATION			Application Number		09/538,344	
	_				Filing Date		3/31/00	
S	TATI	EMENT E	BY APF	PLICANT	First Named Inventor:		Ellison, et. a	1.
		(use as many she	ets as necess	sary)	Group Art Unit		2785	
					Examiner Name	·	Unassigned	
Sheet	1		of	2	Attorney Docket Number	er	042390.P80	98
				US PATE	NT DOCUMENTS			
Exam. Initial*	Cite No.1	U.S. Patent		Name of Pa	atentee or Applicant ed Document		Publication of Document	Pages, Columns, Lines, Where Relevant
		Number Code <sup>2</sup>	Kind (If known)			MM-	DD-YYYY	Passages or Relevant Figures Appear
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Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Office <sup>3</sup> Number	Document <sup>4</sup> Kind Code <sup>5</sup> (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T⁵
		EP09305 WO9834		Texas Instruments, Inc. AT&T Corporation	7/21/99 8/6/98		

Examiner	Date Co	onsidered	
Signature			

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for Form 1449A/PTO (Modified)

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known 09/538,344 **Application Number** 3/31/00 Filing Date First Named Inventor: Ellison, et. al. JUN 1 8 2004 2785 Group Art Unit Unassigned Technology Center 2100 **Examiner Name** 042390 P8098 Attorney Docket Number

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Sheet	2	042390.P8098 2 Attorney Docket Number 042390.P8098				
		OTHER ART – NO PA	ATENT LITERATURE DOCUMEN	ITS		
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CA item (book, magazine, journal	PITAL LETTERS), title of the article (, serial, symposium, catalog, etc.), da bublisher, city and/or country where po	when appropriate), title of the te, page(s), volume-issue		
		"M68040 USER'S MANUAL", 19 page 1-20, page 2-1-page 2-3, p	993, MOTOROLA INC., page 1-5 page 4-1, page 8-9-page 8-11	– page 1-9, page 1-13-		
		"INTEL 386 DX MICROPROCE INTEGRATED MEMORY MANA	SSOR 32-BIT CHMOS MICROPF AGEMENT", 12/31/95, INTEL INC	ROCESSOR WITH ., page 32-56; figure 4-14		
		JOE HEINRICH:"MIPS R4000 M TECHNOLOGY INC., MOUNTA	MICROPROCESSOR USER'S MA AIN VIEW, CA, pages 67-79	ANUAL", 1994, MIPS		
		BERG C: "HOW DO I CREATE PUBL., REDWOOD CITY, CA,	A SIGNED APPLET?", DR. DOB US, VOL. 22, NO. 8, 8 '97, page 1	B'S JOURNAL, M&T 109-111, 122		
		SECURITY ARCHITECTURE II	OND THE SANDBOX: AN OVERV N THE JAVA DEVELOPMENT KI' N INTERNET TECHNOLOGIES A	T 1.2", PROCEEDINGS OF		

Examiner	Date	
Signature	Considered	

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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SEP 2 0 2001

STATUS DB-LA



BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LOS ANGELES

## RECEIVED

SEP 25 2001

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To	

Date Mailed: 09/04/20 Title MA	Docket Due Date:	BSTZ Docket #: 042390.P8098  Client: Intel Corporation  ING A HIERARCHICAL EXECUTIVE ARC	Atty/Sec: wws/irr
Inventor(s) Elli The following has	son, Golliver, Herbert, Lin, McKeen, been received in the U.S. Patent & Tra	Neiger, Reneris, Sutton, Thakkar, Mittal	
☐ Amendment/Re ☐ Amendment/Re ☐ Appeal Brief & to ☐ Application:  (page ☐ Assignment & Co ☑ Certificate of Moderation & PC ☐ Disclosure Docs ☐ Drawings: s ☐ Express Mail No. ☑ Fee Transmittal (4)	sponse (pgs) sponse After Final (pgs) wo copies (pgs each) s w/ cover & abstract pover Sheet (pgs) lailing DA (pgs) & Inv's Signed Ltr heets,figures	Information Disclosure Statemed Information Disclosure Statemed Issue Fee Transmittal (original of Issue Fee Transmittal Letter    Petition for	2: 2: 2: 2: 2: 2: 2: 2: 2: 2: 2: 2: 2: 2
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BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

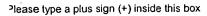
COSTA MESA

UNICATION NO. 03/333/344 FIRMU Date, 03/3 1/00	12 DOCKOW. VIZOUSIA
CI Doctor Duo Doto:	ient: Intel Corporation
Title MANAGING A SECURE PLATFORM USING A H	ERARCHICAL EXECUTIVE ARCHITECTURE IN ISOLATED
EXECUTION MODE	
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger,	Reneris, Sutton, Thakkar, Mittal
Inventor(s) Ellison, Golliver, Hemen, Ltn, but Seen, Teager, The following has been received in the U.S. Patent & Trademark	Office on the date stamped hereon:
	☑ Information Disclosure Statement & PTO-1449 (4 pgs)
Amendment/Response (pgs)	☐ Issue Fee Transmittal (original & copy).
☐ Amendment/Response After Final ( pgs)	☐ Notice of Appeal
Appeal Brief & two copies ( pgs each)	Petition for Extension of Time:
Application:	Petition for( pgs
(pages w/ cover & abstract)	Power of Attorney (pgs)
Assignment & Cover Sheet (pgs)	Preliminary Amendment (ys)
Certificate of Mailing.	Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
☐ Declaration & POA (pgs)	
☐ Disclosure Docs & Inv's Signed Ltr	Reply Brief (pgs) Response to Notice of Missing Parts & PTO-1533 (pgs
☐ Drawings: sheets, figures	Response to Notice of Missing Paris & 10 1995 ( ==================================
Express Mail No.	Supplemental Amendment (pgs)
Fee Transmittal (original & copy)	Transmittal Letter  Check No. 1 ————— Amount ————
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PTO/SB/21 (12/97)
Approved for use through 9/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FO	Application No.	09/53	9,344	
	Filing Date	Marc	h 31, 2000	
(to be used for all correspondence afte	r initial filing)	First Named Inventor	Carl I	M. Ellison
	Group Art Unit	2785		
	Examiner Name	Not A	Assigned	
Total Number of Pages in This Submission	on 7	Attorney Docket Number	42390	DP8098
ENCLOS	SURES (chec	k all that apply)		
Fee Transmittal Form	Assignmen (for an App	t Papers lication)		After Allowance Communication to Group
Fee Attached	Drawing(s)			Appeal Communication to Board of Appeals and Interferences
Amendment / Response	Licensing-r	elated Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Final Affidavits/declaration(s)	Petition Ro and Accom	uting Slip (PTO/SB/69) panying Petition		Proprietary Information
Extension of Time Request	To Convert Provisional	t a I Application		Status Letter
Express Abandonment Request	Power of Attorney, Revocation Change of Correspondence Address			Additional Enclosure(s) (please identify below):
Information Disclosure Statement	Terminal Disclaimer		1 1	TO-1449 with cited eferences.
Certified Copy of Priority Document(s)	Small Entit	y Statement		
Response to Missing Parts/ Incomplete Application	Request fo	or Refund		
Response to Missing Parts under 37 CFR 1.52 or 1.53	The total nu references.	mber of pages does i	not inc	lude the twenty-four cited
SIGNATUR	E OF APPLICAL	NT, ATTORNEY, OR A	SENT	
Firm William W. Sch				
	ØKOLOFF,	TAYLOR & ZAFM	AN L	LP
Signature	-11/			
Date September 4,	2001			
		ING/TRANSMISSION		
I hereby certify that this correspondence is b postage in an envelope addressed to: Assist	eing deposited wit ant Commissione	h the United States Postal r for Patents, Washington,	Service D.C. 20	as First Class mail with sufficient 231 on: September 4, 2001
Typed or printed name Laura Roble	es o			, , , , , , , , , , , , , , , , , , , ,
Signature Hauna	- Roll	lls	Date	September 4, 2001





PTO/SB/17 (12/99)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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### FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

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Co.	mplete if Known	
Application No.	09/539,344	
Filing Date	March 31, 2000	
First Named Inventor	Carl M. Ellison	
Examiner Name	Not Assigned	
Group/Art Unit	2785	
Attorney Docket Number	42390P8098	

METHOD OF PAYMENT (check one)	METHOD OF PAYMENT (check one) FEE CALCULATION (continued)							
The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:	3. ADDITIONAL FEE							
Deposit	Large	Entity	Smal	I Entity	у			
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Account Name Blakely, Sokoloff, Taylor & Zafman LLP	105 127	130 50	205 227		Surcharge - late f			
Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16,1.17, 1.18 and 1.20.	420	420	420	420	cover sheet.	oification		
Under 37 CFR §§ 1.16,1.17, 1.18 and 1.20.	139	130 2,520	139 147		Non-English spec For filing a reque		nation	
Applicant claims small entity status. See 37 CFR 1.27.	112	920*	112		Requesting publi			
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2. Payment Enclosed:  Check Credit card Money Other	113	1,840*	113	1,840	Requesting publi Examiner action	cation of SIR	after	
Order Order	115	110	215	55	Extension for res	ponse within t	first month	
FEE CALCULATION	116	390	216	195	Extension for res	ponse within s	second month	
1. BASIC FILING FEE	117	890	217		Extension for res	•		
Large Entity Small Entity		1,390	218		Extension for res	•		
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101 710 201 355 Utility filing fee	1				• •	conort of an a	nnool	
106 320 206 160 Design filing fee	120	310	220		Filing a brief in su	• •	ppear	
107 490 207 245 Plant filing fee	121	270	221		Request for oral	-		
108 710 208 355 Reissue filing fee	138	1,510		•	Petition to institut	•		
114 150 214 75 Provisional filing fee	140	110	240	55	Petition to revive	- unavoidable	•	·
CURTOTAL (4)	141	1,240	241	620	Petition to revive	- unintentiona	ai	
SUBTOTAL (1) (\$)	142	1,240	242	620	Utility issue fee (	or reissue)		
2. EXTRA CLAIM FEES Extra Fee from	143	440	243	220	Design issue fee	!		
Claims below Fee Paid	144	600	244	300	Plant issue fee			
Total Claims = X =	122	130	122	130	Petitions to the C	Commissioner		
Independent   -   =   X   =	123	50	123	50	Petitions related	to provisional	applications	
Multiple Dependent	126	180	126	180	Submission of In	formation Dis	closure Stmt	
**or number previously paid, if greater, For Reissues, see below	581	40	581	40	Recording each	patent assign	ment per	
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Fee Fee Fee Fee Description	146	710	246	355	Filing a submissi	on after final i	rejection	
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103 18 203 9 Claims in excess of 20	149	710	249	355	For each addition		o be	
102 80 202 40 Independent claims in excess of 3	470		070		examined (37 CF		ration (DOE)	
104 260 204 135 Multiple Dependent claim, if not paid			279		Request for Conf			<u> </u>
109 80 209 40 **Reissue independent claims over original patent	169		169	900	Request for expe of a design appli		ation	
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and over original patent		fee (sp						<u> </u>
SUBTOTAL (2) (\$)	"Redu	oed by Ba	isic Hilling	ree Pa	₃o SU	BTOTAL (3)	(\$)	
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SUBMITTED BY						Compl	ete (if applica	able)
Name (Print/Type) William W. Schaal		Registrat Attomey/Ag			39,018	Telephone	(714) 557	7-3800
Signature						Date	09/04	/01

Substitute for Form 1449A/PTO	Complete if Known		
	Application Number	09/539,344	
INFORMATION DISCLOSURE	Filing Date	March 31, 2000	
STATEMENT BY APPLICANT	First Named Inventor	Carl M. Ellison	
	Group Art Unit	2785	
(Use as many sheets as necessary.)	Examiner Name	Unassigned	
Sheet 1 of 2	Attorney Docket Number	042390.P8098	

#### U.S. PATENT DOCUMENTS

Exam.	Document				Sub-	Filing Date
Initials	Number	Date	Name	Class	class	(if appropriate)
	4,278,837	07/14/81	Best			
	4,521,852	06/04/85	Guttag			
	5,022,077	06/04/91	Bealkowski et al.			\
	5,293,424	03/08/94	Holtey et al.			
	5,421,006	05/30/95	Jablon et al.			
	5,473,692	12/05/95	Davis			
	5,479,509	12/26/95	Ugon			
	5,568,552	10/22/96	Davis			
	5,657,445	08/12/97	Pearce			
	5,729,760	03/17/98	Poisner			
	5,796,845	08/18/98	Serikawa et al.			
	5,805,712	09/08/98	Davis			
	5,835,594	11/10/98	Albrecht et al.			
	5,844,986	12/01/98	Davis			
	5,937,063	08/10/99	Davis			
	5,978,481	11/02/99	Ganesan et al.		<u> </u>	
	6,014,745	01/11/00	Ashe			
1	6,058,478	05/02/00	Davis			
	6,158,546	12/12/00	Hanson et al.			
	6,175,925	01/16/01	Nardone et al.			
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#### FOREIGN PATENT DOCUMENTS

Exam. Initials	Document Number	Data	Country	Class	Sub- class	Transl Yes	ation No
imuais	Number	Date	Country	Class	Class	168	110
		-					

Examiner	Date
Signature	Considered

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for Form 1449A/PTO		Comple	Complete if Known			
		Application Number	09/539,344			
INFORMATION D	SCLOSURE	Filing Date	March 31, 2000			
STATEMENT BY APPLICANT		First Named Inventor	Carl M. Ellison			
		Group Art Unit	2785			
(Use as many sheets a	s necessary.)	Examiner Name	Unassigned			
Sheet 2 of	2	Attorney Docket Number	042390.P8098			

#### U.S. PATENT DOCUMENTS

Exam.	Document	T	I. I ATENT DOCUMENTS	T	Sub-	Filing Date
		D.	Name		class	(if appropriate)
Initials	Number	Date	Name	Class	Class	(if appropriate)
	6,178,509	01/23/01	Nardone et al.			
	6,205,550	03/20/01	Nardone et al.	1		
	B1					
	6,282,651	08/28/01	Ashe			
	6,282,657	08/28/01	Kaplan et al.			
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#### FOREIGN PATENT DOCUMENTS

Exam.	Document		TATENT BOOMENTS		Sub-	Trans	
Initials	Number	Date	Country	Class	class	Yes	No
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			4				

Examiner	Date
Signature	Considered

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Attorney Docket No.: 42390P8098

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: MANAGING A SECURE PLATFORM

USING A HIERARCHICAL EXECUTIVE

ARCHITECTURE IN ISOLATED

**EXECUTION MODE** 

Art Group: 2785

Examiner: Not Assigned

#### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: September 04, 2001

William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 Telephone: (714) 557-3800

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: <u>September 4, 2001</u>.

Taura toleles.

09/04/01

Date

JAN 0 8 2003

DEC 3 0 2003

**BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP COSTA MESA** 

BLAKELY, SOKOLOFF TAYLOR & ZAFMAN LLP LOS ANGELES

Application No.: 09/539,344 Filing Date: 3/31/2000

Docket #: 42390.P8098

Date Mailed: 12/16/2003

Due Date(s):

Atty/Sec: WWS/crr

Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated

**Execution Mode** 

First Named Inventor: Carl M. Ellison

The following has been received in the U.S.P.T.O. on the date stamped hereon:

Certificate of Mailing

Fee Transmittal (original & copy)

Information Disclosure Statement & PTO/SB/08 (4 pgs)

Transmittal Letter Cited References Postcard

Assignee: Intel Corporation



# RECEIVED

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-Technology Center 2100

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JAN -7 2004

BLAKELY, SUKOLOFF, TAYLOR & ZAFMAIN SUNNYVALE

Application No.: 09/539,344 Filing Date: 3/31/2000 Docket #: 42390.P8098
Date Mailed: 12/19/2003
Client: INTEL CORPORATION Atty/Sec: WWS/cri
Title: Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated  Execution Mode
First Named Inventor: Carl M. Ellison
The following has been received in the U.S.P.T.O. on the date stamped hereon:
Certificate of Mailing Fee Transmittal (original & copy) Information Disclosure Statement & PTO/SB/08 (4 pgs) Transmittal Letter Cited References Postcard
Assignee: Intel Corporation

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JUN 1 8 2004

Technology Center 2100

Docket No.: 42390P8098

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: Managing Secure Platform Using a

Hierarchical Executive Architecture in

**Isolated Execution Mode** 

Art Group: 2785

Examiner: Unassigned

RECEIVED

JUN 1 8 2004

**Technology Center 2100** 

#### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 10, 2003

William W. Schaal, Reg. No. 39,018

3200 Park Center Drive, Suite 750 Costa Mesa, CA 92626 Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Corrinn R. Reynolds

Date

		Application No.	09/539,344		
TRANSMITTAL I	ORM	Filing Date	March 31, 200	0	
(to be used for all correspondence a	fter initial filing)	First Named Inventor	Carl M. Ellison		
		Art Unit	2785		
		Examiner Name	Unassigned	JUN 1 8 7	
Total Number of Pages in This Submi	ssion	Attorney Docket Number	42390P8098	Technology Cer	
ENCL	OSURES (che	ck all that apply)		· · · · · · · · · · · · · · · · · · ·	
Fee Transmittal Form	Drawing(	s)	After Allow to Group	vance Communication	
Fee Attached	Licensing	ı-related Papers	Appeal Co of Appeals	mmunication to Board and Interferences	
Amendment / Response	Petition			mmunication to Group e, Brief, Reply Brief)	
After Final Affidavits/declaration(s)	Petition to Provision	o Convert a al Application	Proprietary	y Information	
Extension of Time Request	Power of Change of	Attorney, Revocation of Correspondence Address	Status Letter		
Express Abandonment Request	Terminal	Terminal Disclaimer		Other Enclosure(s) (please identify below):	
Information Disclosure Statement	Request	Request for Refund		rences	
PTO/SB/08	CD, Num	CD, Number of CD(s)			
Certified Copy of Priority Document(s)					
Response to Missing Parts/ Incomplete Application	Remarks			·	
Basic Filing Fee Declaration/POA					
Response to Missing Parts under 37 CFR 1.52 or 1.53					
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Firm William W. S	Schaal, Reg. No	. 39.018			
or .		TAYLOR & ZAFM	ANLLP		
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Date December 1	0, 2003			· · · · · · · · · · · · · · · · · · ·	
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Effective 01/01/2003. Patent fees are subject to annual revision.	Fi	irst Name	ed Inv	entor	Carl M	I. Ellison		V I	T
Applicant claims small entity status. See 37 CFR 1.27.	E	xaminer	Name		Unassi	gned	.IUN 1	8 2004	
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Name Blakery, Sokoloff, Taylor & Zaffilan EET	2053	130	2053	130	Non-English specification				
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Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.	1805	1,840*	1805	1,840 *	Requesting publication of	f SIR after			
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to the above-identified deposit account	1251	110	2251		Extension for reply within				
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1. BASIC FILING FEE	1253	950	2253		Extension for reply within				П
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1002 340 2002 170 Design filing fee	1402	330	2402	165	Filing a brief in support or	t an appeal			Ш
1003 530 2003 265 Plant filing fee	1403	290	2403	145	Request for oral hearing				$\  \ $
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Large Entity   Small Entity	8021	40	8021	40	Recording each patent a				
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1203 290 2203 145 Multiple Dependent claim, if not paid 1204 86 2204 43 **Reissue independent claims over original	1801	770	2801	385	Request for Continued E	xamination (RCE	:)		
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SUBTOTAL (2) (\$)	*Reduced	d by Basic Film	g Fee Pa	d	su	BTOTAL (3)	(\$)		7]
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Name (Print/Type) William W. Schaal		Registratio Attomey/Age		3	39,018	elephone	(714)5	57-3800	ł
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INI	INFORMATION DISCLOSURE		Application Number 09/539,3		09/539,344	/539,344					
							Filing Date		March 31,	31, 2000	
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							Examiner Name		Unassigned	d	
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)			ed)	Complete if Known				
INFORMATION DISCLOSURE		Application Number	09/539,344					
'		Filing Date	March 31, 2000					
STA			PPLICANT	First Named Inventor:	Carl M. Ellison			
	(use a	s many sheets as ne	ecessary)	Group Art Unit	2785			
				Examiner Name	Unassigned			
Sheet	2	of	2	Attorney Docket Number	042390P8098			
		отн	ER ART – NO PATEN	LITERATURE DOCUMENT	'S			
Examiner Initials* Cite No <sup>1</sup> Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the article (when appropriate) are item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue (number(s), publisher, city and/or country where published						T <sup>2</sup>		
		GOLDBERG, F 34-45, 1974.	R., "Survey of virtual ma	achine research," IEEE Comp	outer Magazine 7(6), pp.			
		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983						
		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.						
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Examiner	Date	
Signature	Considered	

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

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<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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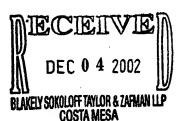
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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP LOS ANGELES



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Application No.: 09/539,344 Filling Date: 03/31/00 BS	STZ Docket #:	042390.P8098	Atty/Sec: WWS/crr
Date Mailed: 11/18/2002 Docket Due Date(s):		Intel Corporation	
Title Managing Secure Platform Using a Heircrchical E	Executive Arch	itecture in Isolated Execution	n Mode
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, R	eneris Sutton	Thakkar Mittal	
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, R The following has been received in the U.S. Patent & Trademan			
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☐ Amendment: ( pgs)	_	on Disclosure Statement & F	
Appeal Brief & two copies ( pgs)		e Transmittal (original & cop	
Application:	□ Nonpublic	cation Request Under 35 U.S	S.C. 122(b)(2)(B)(i)
(_ pages w/ cover & abstract)	☐ Notice of	Appeal	
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☑ Certificate of Mailing		for Continued Examination (	RCF)
☐ Continued Prosecution Application (CPA)	☐ Reply Bri		, (02)
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Assignee: Intel Corporation			

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Application No.: 09/539,344 Filing Date: 03/31/00	BSTZ Docket #: 042390.P8098	Atty/Sec: WWS/crr
Date Mailed: 11/18/2002 Docket Due Date(s):	Client: Intel Corporation	
Title Managing Secure Platform Using a Heircrch	ical Executive Architecture in Isolated Execution Mode	
Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neig	er Reneris Sutton Thakkar Mittal	·.
The following has been received in the U.S. Patent & Trade	emark Office on the date stamped bereon:	
Amendment: (pgs)	Information Disclosure Statement & PTO/SB	(09 ( A pgs)
☐ Appeal Brief & two copies ( pgs)	☐ Issue Fee Transmittal (original & copy)	708 ( <u>4</u> pgs)
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(_pages w/ cover & abstract)  ☐ Assignment & Cover Sheet (pgs)	☐ Notice of Appeal	
Certificate of Mailing	Petition for:	
☐ Continued Prosecution Application (CPA)	Request for Continued Examination (RCE)	
Declaration & POA (pgs)	Reply Brief (pgs)	
☐ Drawings: sheets, figures	☐ Request to Rescind Previous Nonpublication	Request
Express Mail No:	☐ Response to Notice of Missing Parts & Forma	
☐ Extension of Time:	☐ Terminal Disclaimer	·
☑ Fee Transmittal (original & copy)	Transmittal of Formal Drawings	
Other Copy of Search Report: 9 Cited References	Transmittal of Publication Fee Due	
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Assignee: Intel Corporation		JUN 1 8 2004

Technology Center 2100

Docket No.: 42390P8098

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: Managing Secure Platform Using a

Heircrchical Executive Architecture in

**Isolated Execution Mode** 

Art Group: 2785

Examiner: Unassigned

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JUN 1 8 2004

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#### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: November 18, 2002

William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 18, 2002

11-18-02

Corrinn R. Reynolds

Date



PTO/SB/21 (08-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Individual name	BLAKELY, S	SKOLOFF,	TAYLOR & ZAFN	IAN LLP			
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PTO/SB/17 (10-02)

Approved for use through 10/31/2002. OMB 6651-0032 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL	A 11 A1 A1 A			
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for FY 2003	Filing Date			
Patent fees are subject to annual revision.	First Named Inventor			
Applicant claims small entity status. See 37 CFR 1.27.	Examiner Name			
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1002	330	2001	165	Design filing fee			1402	320	2402	160	Filing a brief in support of an appeal	
1003	510	2003	255	Plant filing fee			1403	280	2403	140	Request for oral hearing	
1004	740	2004	370	Reissue filing fee			1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1005	160	2005	80	Provisional filing fee			1452	110	2452	55	Petition to revive - unavoidable	
	'		SUBT	OTAL (1)	(\$)		1453	1,280	2453	640	Petition to revive - unintentional	
					(4)		1501	1,280	2501	640	Utility issue fee (or reissue)	
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Multiple De	pendent						1806	180	1806	180	Submission of Information Disclosure Stmt	
Large En	<u> </u>	Small E					8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
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1203	280	2203	140	Multiple Dependent cl	laim, if not paid	j	l				examined (37 CFR § 1.129(b))	
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omplete (if applicable) Registration No. Name (Print/Type) (714) 557-3800 William W. Schaat 39,018 Telephone (Attorney/Agent) 11/18/02 Signature Date

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PTO/SB/08A(10-01)
Approved for use through 10/31/2002, OMB 851-0031
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO INFORMATION DISCLOSURE	Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.  Complete if Known				
STATEMENT BY APPLICANT	<b>Application Number</b>	09/539344			
(Use as many sheets as necessary)	Filing Date	March 31, 200 <b>RFCFIVED</b>			
	First Named Inventor	Ellison, Carl M.			
	Group Art Unit	2785 JUN 1 8 2004			
	Examiner Name	Unassigned Technology Center 210			
Sheet 1 of 1	Attorney Docket No: 4				

		US PA	ATENT DOCUMENT	S		
Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

		FOREIGN PATEN	IT DOCUMENTS	····		
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
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**EXAMINER**